

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SLOAN et al.

Application No.: 09/930,786

Filed: August 15, 2001

For: FINANCIAL PORTFOLIO RISK MANAGEMENT

Attorney Docket No.: 60021.375602

Examiner: Unassigned

Group Art Unit: Unassigned

Date: November 15, 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail to: Commissioner for Patents, Washington, DC 20231 on November 15, 2001.

Signed: 

Yvonne Mock

Commissioner of Patents

Box: New Applications and Associated Papers and Fees
Washington, DC 20231

Sir:

Transmitted herewith is a preliminary amendment in the above-identified application.

- ☒ Applicant(s) believe that no (additional) Extension of Time is required; however, if it is determined that such an extension is required, Applicant(s) hereby petition that such an extension be granted and authorize the Commissioner to charge the required fees for an Extension of Time under 37 CFR 1.136 to Deposit Account No. 02-3964.
- ☒ If the required fees are missing or any additional fees are required to facilitate filing the enclosed response, please charge such fees or credit any overpayment to Deposit Account No. 02-3964 (Order No. 60021.375602). A copy of this sheet is enclosed.

Respectfully submitted,
OPPENHEIMER-WOLFF & DONNELLY, LLP

Rambod Nader
Registration No. 47,262

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Palo Alto, CA 94034
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(Revised 1/96)



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/930,786	08/15/2001	Ronald E. Sloan	60021.375602

CONFIRMATION NO. 3301

FORMALITIES LETTER



OC000000006546258

OPPENHEIMER WOLFF & DONNELLY, LLP
1400 Page Mill Road
Palo Alto, CA 94304

Date Mailed: 09/13/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The signature of the following inventor(s) is missing from the oath or declaration:
Stephen B. Slutsky
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

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OPPENHEIMER WOLFF & DONNELLY LLP
PALO ALTO, CALIFORNIA
SEP 24 2001

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